

LIBRARY SERVICES AND TECHNOLOGY ACT

PUBLIC LIBRARY SERVICES

Federal Fiscal Year 2005

APPLICATION INFORMATION AND GUIDELINES

FOR

PUBLIC LIBRARY PROGRAMMING SUBGRANT

Commonwealth of Kentucky

Department for Libraries and Archives

May, 2004

LIBRARY SERVICES AND TECHNOLOGY ACT FEDERAL SUBGRANT PROGRAM GUIDELINES

To fulfill the requirement of the Library Services and Technology Act, the Kentucky Department for Libraries and Archives (KDLA) has developed a long range plan for the development, provision, and improvement of library service in the state. A strategy in implementing the plan is to extend and improve access to and provide for library resources, services and personnel to areas of the state in which library services are inadequate, and for children in urban and rural areas, the disadvantaged, and the disabled.

In an effort to achieve this goal, KDLA is inviting qualifying countywide public libraries to make application for subgrant funds for the program listed below.

Applicants are advised to read these guidelines carefully to assure that their application is acceptable and competitive. Funds are limited and applicants can avoid disappointment if they make sure they abide by all requirements including the strict deadlines. The deadline for submission of your application is listed on the application form and on page 2 of these guidelines.

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***Additional information specific to the subgrant may be attached as an addendum to these guidelines.**

GOAL OF THE PUBLIC LIBRARY PROGRAMMING SUBGRANT

In an effort to achieve the goals of the LSTA long-range plan for the development, provision and improvement of library service in the state, KDLA is inviting qualifying public libraries to make application in support of library programming. The minimum grant award will be \$2,000 and the maximum award will be \$15,000. The number of awards made will depend on the number of applications received and awarded.

Programming is defined as a process by which the informational, recreational, and educational needs of patrons are met by bringing patrons into contact with the human resources best able to meet those needs. (*Lear, Brett. Adult Programs in the Library. Chicago: ALA, 2000*)

A well planned and executed public library programming fulfills the following:

- ♦ Matches the appropriateness of a subject to the targeted audience;
- ♦ Promotes appreciation of books and reading;
- ♦ Introduces a range of library services;
- ♦ Enhances the use of the library's collection;
- ♦ Improves access to information for targeted audiences; and
- ♦ Encourages positive community cooperation and support.
- ♦ Results in expected or unexpected changes in attitudes, behaviors, knowledge, skill levels, and social networks of program participants.

The following suggestions are examples and should be thought of as guides adaptable to your needs. Several of these are intergenerational and may present opportunities to partner with youth organizations. Higher scores will be given to programming projects for older adults and/or intergenerational projects.

- | | |
|--|---|
| ♦ Advocacy / Public relations | ♦ Language proficiency |
| ♦ Diversity Projects | ♦ Technology training |
| ♦ Job / career planning / resume writing | ♦ Seniors |
| ♦ Adult / Older adult | ♦ Partnership with community agencies/organizations |
| ♦ Mentally & physically disabled | ♦ Literacy |
| ♦ Local history preservation | ♦ Parenting |
| ♦ Outreach services | ♦ Series on hobbies, finances, well-being, book |
| ♦ Underserved /underprivileged groups | discussion groups, remembering other times, etc. |

The original and one copy of the completed Application (**fax copies not acceptable**) must be postmarked no later than **July 30, 2004** to be considered. The Application should be sent to:

Regina Yount
Grants and Contracts Specialist
Kentucky Department for Libraries and Archives
300 Coffee Tree Road
P.O. Box 537
Frankfort, Kentucky 40602-0537

ELIGIBILITY REQUIREMENTS

Libraries who have met the following requirements are eligible to submit an Application.

1. Have a legally established public library;
2. Have a Library Director who is properly certified by the Kentucky Board for Certification of Librarians;
3. Provide free countywide library services, without discrimination, to the citizens of the county in which the public library facility is located.

COMPLETION OF APPLICATION

A proposal for subgrant programs must be made on the application form provided by Kentucky Department for Libraries and Archives. Altered forms will not be accepted.

The application consists of five parts. For the application to be considered competitive, all parts must be completed in the order listed. Incomplete applications will be disqualified. All applications must be typed. Applications must be postmarked no later than the deadline listed on page 2 of the guidelines.

PART I – IDENTIFYING INFORMATION (PAGE 1)

Do not leave any area blank. Pay close attention to #11. The Summary should be short and **specific**. An example is provided below.

“This project will introduce and promote library usage among local elementary school students. We intend to transport students to the library to check out books, participate in story time programs, book talks and tours. We will provide two library sponsored events at the school for families and students; and provide a parent’s workshop focusing on the importance of reading to children and summer reading. A Youth Services Outreach staff person will be hired and library resources and travel for students will be funded.”

PART II – NARRATIVE (PAGE 2)

Thoroughly address each of the headings in the order listed. Please type narrative on additional sheets of paper. **Number those pages consecutively so they can be cited on Part III--Budget.**

PART III – BUDGET (Page 3)

- A variety of items may be funded—salaries for **new** staff, fringe benefits, training, travel, books (limit 10% of total project), software, postage, supplies, printing, audiovisual materials, are all allowable. **Examples of items that shall not be funded include salaries for current staff, contingencies, donations, food (unless it is part of an official function such as a working lunch, dinner, etc.) gifts, prizes, T-shirts, and performers (unless part of an education program).** These items can be part of the project but must be paid for by local funds or donations. Applicants should not make budgetary requests for items that are not necessary to accomplish the objectives of the project. If uncertain about an allowable

expenditure or if assistance is needed in budget preparation, applicants should call Diane Poole, LSTA Coordinator at (502) 564-8300, extension 295.

- **On the budget sheet, round figures to the nearest dollar.**
- If there are questions about a proposed budget after KDLA receipt of an application or during the review process, a KDLA Field Services representative will contact the library project director. The project director should have a copy of the budget sheet readily available and be able to respond to questions. Additional written data may be requested by the review committee.
- After a proposal is funded, budgetary changes, such as transferring funds from one budget category to another, may be allowable, however, a request for change must be in writing and the grant recipient must await written approval from KDLA.
- Funds not spent at the end of the project year must be returned to KDLA. If it becomes obvious that all funds will not be expended, the KDLA project manager may require that the library project director amend the project and return the unneeded portion during the project year. **Libraries are not penalized in any way for returning unspent funds.**

Information for completing the budget sheet:

- o **Personnel**—Include cost of new staff to be charged to the project. Grant funds may not be used to pay existing salaries.
- o **Fringe benefits** may differ from library to library but could include Workers Compensation and Social Security. Cite what is included.
- o **Equipment**—List each piece of equipment separately. Attach additional sheets if necessary. Equipment having an acquisition cost of \$500 or more per unit is subject to certain Federal, State and KDLA requirements. All funds designated for equipment must be spent or encumbered during the first quarter of the project year (October—December). Applicants must have in effect at the time of the Application, a control system that will insure adequate safeguards to prevent loss, damage, or theft of equipment and materials.
- o **Audiovisual materials**—Be as specific as possible on items and numbers to be purchased. Give average prices. This information may be included as an addendum to the budget sheet.
- o **Books**—Give estimated number of books to be purchased. Book purchases may total no more than 10% of total project. This information may be included as an addendum to the budget sheet.
- o **Printing**—Include reproduction of project materials and list specific items (for example, one-page flyer to be issued four times to 1,500 people at a cost of three cents per page) This information may be included as an addendum to the budget sheet.
- o **Services**—For example, cataloging.

- o **Software**—Be as specific as possible on items and numbers to be purchased. Give average prices. This information may be included as an addendum to the budget sheet.
- o **Travel**—To compute automobile travel expenses necessary to the project, use \$0.32 per mile. Other travel expenses should be estimated as accurately as possible. All project travel must occur between October 1 and September 30 of the following year in which the subgrant is awarded.

Applicants Are Advised To Make Certain That All Items In The Budget Are Well Justified In The Narrative.

PART IV – ASSURANCES

DEBARMENT

For the application to be complete, the **original signature of the President of Library Board of Trustees** must be on the line marked authorized representative, along with the name and title of the authorized representative and signature date.

This Federally required certification, in part, requires confirmation that:

- (1) neither the Board nor the principals involved in the subgrant project are presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in Federal financial assistance and non-financial assistance programs or activities by any Federal department or agency, and
- (2) neither the Board nor the principals involved in the subgrant project will knowingly do business with an individual, corporation, partnership, association, unit of government or legal entity that is debarred, suspended, declared ineligible, or voluntarily excluded from participation in Federal financial assistance and non-financial assistance programs or activities, unless authorized to do so by the Kentucky Department for Libraries and Archives.

To obtain copies of Presidential Executive Order 12549 and implementing regulations, and to check the "List of Parties Excluded From Federal Procurement and Non-Procurement Programs", contact Diane Poole, LSTA Coordinator, KDLA, telephone number (502) 564-8300 ext. 295. If at any time the applicant learns that the Certification was erroneous when submitted or has become erroneous by reason of changed circumstances, immediate written notice must be provided to James A. Nelson, State Librarian and Commissioner, KDLA, P.O. Box 537, Frankfort, KY 40602-0537.

CHILDREN'S INTERNET PROTECTION ACT (CIPA)

Subgrantees will certify that no Library Services and Technology Act (LSTA) funds will be made to purchase computers to access the Internet or to pay for the direct costs associated with accessing the Internet, unless the library has certified that it has an Internet safety policy that complies with the provisions of 20 U.S.C. Section 9134(f).

ASSURANCE OF COMPLIANCE WITH TITLE VI OF THE CIVIL RIGHTS ACT OF 1964

Applicants are required to sign a non-discrimination clause prior to receiving any Federal loan, contract or grant. In signing the assurance applicants will agree to:

Comply with all Federal statutes relating to non-discrimination. These include but are not limited to Title VI of the Civil Rights Act of 1964 which prohibits discrimination on the basis of race, color or national origin.

Applicants must be willing to abide by KDLA's Title VI compliance plan or submit their own plan to KDLA. The KDLA project monitor can assist applicants in assuring their compliance. A copy of the KDLA plan will be made available upon request.

Although not part of the application process, applicants should be aware that following assurances will be included as part of the contract for winning applicants.

Lobbying

Subgrantees are prohibited by federal law from using subgrant funds to pay costs associated with influencing elections, legislation, or the award of any federal funds.

Drug Free Workplace

Subgrantees will make a good faith effort to maintain a drug-free workplace.

Federal Debt Status

Subgrantees will certify that to the best of their knowledge and belief the subgrant recipient is not delinquent in the repayment of any federal debt.

PART V - CERTIFICATION

Part A - For the Application to be complete, the original signatures of at least three members of the Board of Trustees must be affixed.

Part B – (Applicable to public libraries only) The Regional Consultant or Acting Regional Consultant must sign acknowledging review of the proposal. The library director and the subgrant project director must also sign. Dates when individuals signed the Certification must be entered.

NOTE: Applicants for subgrants from KDLA compete for limited funds. Deadlines for complete applications, with required signatures, assure all applicants will be treated fairly. For these reasons, KDLA will impose strict deadlines for grant applications. Applicants can avoid disappointment if they understand that incomplete or late applications will be rejected without consideration.

PROPOSAL REVIEW PROCESS

All applications submitted by the deadline will be reviewed by KDLA applying the following criteria:

1. All eligibility requirements necessary to submit an Application have been met.
2. The Application was submitted according to KDLA requirements and guidelines, and contains appropriate signatures on all certifications.

Applications meeting all eligibility requirements and guidelines shall be submitted to a Review Committee appointed by the State Librarian. Such committee, composed of library professionals and individuals who have no vested interest in the subgrant process, will review all applications using the attached score sheet. (Appendix A)

In addition to the aforementioned criteria, the review committee will consider the potential for replication of the projects by other libraries. A factor in the determination of grant awards will be the performance on past state and/or federal funded grant projects, as measured by adherence to all contractual requirements, both financial and programmatic.

Applicants should note the criteria that will be weighted in the review process. A maximum number of points can be accrued collectively. After all applications have been reviewed, the Review Committee will forward its recommendations to the State Librarian.

APPROVAL OF PROPOSED PROJECTS

The State Librarian will consider the recommendations of the Review Committee and render a final decision. KDLA will notify all applicants by mail no later than 30 days after the application deadline of the action taken on their applications.

AWARD AND AGREEMENT BETWEEN KDLA AND THE APPROVED APPLICANT

A project information meeting will be held at KDLA in Frankfort for representatives of the libraries receiving subgrants. This meeting will familiarize the recipients with the requirements regarding the acceptance and use of funds. **KDLA will inform recipients of the date and time of the meeting in their award letter.**

KDLA will prepare and execute agreements with the grant recipient. The agreements will reflect requirements regarding the acceptance and use of LSTA funds, obligations, payment schedules, project status and financial expenditure reports, the Final Subgrantee Project Report and Evaluation, and any audit requirements. The approved application will become part of the Agreement between KDLA and the recipient.

FUNDING

The awarding of LSTA funds will be subject to the appropriation of funds for the federal year, the release of the Federal allotment, KDLA approval of the applications, and execution of subgrant agreements.

Funds awarded for LSTA subgrants must be expended solely for the purpose of the project. Funds not so expended, including those lost or diverted to other purposes, must be returned to KDLA. Any balance of funds advanced but not spent or obligated by the end of the federal year must be returned to KDLA.

Funds will not be allocated for continuing support of an approved and funded project if there is evidence after evaluation that any of the following exist:

- a) the subgrant recipient is not providing the service for which it is being assisted; or
- b) there are violations of the terms of the agreement between KDLA and the subgrant recipient.

If there is unsatisfactory performance of the conditions of the agreement and the agreement is terminated and canceled, the subgrant recipient may be required to return funds advanced under the agreement.

Funds will not be allowable for any new obligations made after the date of the agreement's expiration or termination.

Applicants will be required to assure that they will not discriminate on the basis of race, religion, age, gender, national origin, or handicapping condition in providing space for public meetings or in the provision of services.

PAYMENT OF FEDERAL AWARD

Funding will be provided according to a Payment Schedule determined at the time of execution of the agreement, and based on project time frames and the release of Federal funds. After the initial payment, subsequent payments will be contingent upon receipt and approval of all required reports, and appropriate expenditure or obligation of funds previously awarded under the project.

RECIPIENTS OF FEDERAL FUNDS ARE CAUTIONED THAT THE TIME ELAPSING BETWEEN RECEIPT OF FUNDS AND THEIR DISBURSEMENT SHALL BE MINIMIZED.

PUBLICATIONS AND PRESENTATIONS

The award of an LSTA Subgrant is an achievement that should be shared with the community. Grantees are expected and encouraged to publicize projects in available and appropriate media outlets. Public relations releases concerning the project, or any publications or materials produced as a part of the subgrant project, must include the following statement: "This project is supported by the Institute of Museum and Library Services under the provisions of the Library Services and Technology Act and administered by the Kentucky Department of Library and Archives." KDLA will provide additional resources to assist with compliance of this requirement.

Copies of any publications or materials produced under the subgrant must be submitted to KDLA.

INTEREST OR INVESTMENT INCOME

Interest or investment income earned by the recipient under the subgrant program does not have to be refunded to KDLA, but does have to be reported on the Financial Expenditure Reports.

AMENDMENTS TO PROJECTS

Requests for approval to change the project, its budget or activities must be submitted in writing to your project monitor before any changes to the project can be made. If the changes are determined to be "amendments" to the LSTA State Plan Annual Program, they must be submitted to the State Librarian and Commissioner for acceptance. Changes are not allowable until the subgrant recipient receives written KDLA approval.

MONITORING PROCESS

KDLA will assign a monitor to the project immediately following the execution of agreements between KDLA and the subgrant recipient. The monitor will provide (but shall not be limited to) technical assistance, consultation, information and required forms, and assistance in evaluation of project performance.

PROJECT REPORTS AND REPORTING

The subgrant recipient will be required to submit scheduled project status and financial expenditure reports during the term of the project. The schedules for submission and copies of the forms will be provided at the time agreements are executed. **The Project Director is responsible for having these reports submitted in a timely manner.**

MAINTENANCE AND RETENTION OF PROJECT RECORDS

The subgrant recipient will be required to maintain financial and programmatic records for this project separate from records of other projects. Accounting records must be supported by such documentation as canceled checks, paid bills, payrolls, time and attendance records, and agreement and subgrant award documents. Time and attendance reporting forms are required for all personnel funded with project funds.

SUBGRANT CLOSEOUT

All subgrants will be closed out as promptly as is feasible after expiration or termination of the project. **Within 30 days** of the conclusion or termination of the project, the subrecipient will refund to KDLA any unobligated balance of cash advanced. In addition, the subrecipient will submit all reports required by the terms of the agreement between KDLA and the subrecipient (with the exception of the final Financial Expenditure Report for projects required to have an audit and which final Financial Expenditure Report will be due after the audit has been accepted by KDLA and local payment for the audit has been made).

The closeout of a subgrant will not affect (1) the retention period for Federal or KDLA rights of access to subgrant records; (2) the sub-recipient's responsibility with respect to property acquired with subgrant funds or with respect to program income for which the subrecipient is accountable under the terms of the subgrant; or (3) audit by the Federal government.

KDLA will issue a final letter of closeout when it has been determined that all required work of the subgrant project and all administrative actions have been completed.

PART III **BUDGET**

SAMPLE BUDGET

(Fill appropriate empty spaces)

CATEGORY	TOTAL NEEDED FOR YEAR	JUSTIFIED IN NARRATIVE ON PAGE #
PERSONNEL (list each employee to be paid with grant funds)		
NAME Jane Doe		3
Salary \$7 per hour x 120 hours	840	
Fringe benefits		
NAME John Doe		3
Salary \$7 per hour x 100 hours	700	
Fringe benefits		
NAME		
Salary		
Fringe benefits		
TOTAL PERSONNEL COST	1,540	
OPERATING EXPENSES		
AudioVisual materials (see attached list)	550	2
Books (Limit 10% of total project)	500	2
Postage	125	3
Printing	200	3
Software (see attached list)	450	4
Supplies (see attached list)	75	4
Travel		
Other (specify) (see attached list)	100	5
Services (list each) (see attached list)	600	5
TOTAL OPERATING COST	2,600	
EQUIPMENT EXPENSES (list each item to be purchased with grant funds)		
Laptop Computer (3)	3,000	5
TOTAL EQUIPMENT COST	3,000	
GRAND TOTAL (Personnel+Operating+Equipment)	7,140	
Attach additional pages as necessary		

Kentucky Department for Libraries and Archives
SUBGRANT SCORE SHEET

Appendix A

SUBGRANT _____

CRITERIA	Possible Points
Submission and completion of all parts of the Application according to KDLA guidelines and utilizing unaltered KDLA forms.	25
Clear identification and documentation of need	25
Creative and innovative ideas based on understanding of library and information needs of the specific patron group being addressed.	30
Clearly stated, measurable project activities which can be achieved within the project term and which are feasible using the resources available	25
Sound project planning	20
Adequate numbers of qualified personnel to accomplish the activities of the project, including the evaluation.	20
Adequate plan to promote the project.	20
Evaluation plan which will show impact and includes measurable, quantifiable and anecdotal outcomes.	25
Realistic plan to continue project activities after completion of the project term.	5
Clear description of the control system in effect if equipment is to be purchased.	5
Well-organized and adequate budget to address the project activities.	20
Cooperation and coordination (including documentation of support) with other agencies/organizations if applicable	10
Unfavorable performance on past state and federal subgrants (information will be provided by KDLA staff using agency records) (-5)	
Application written in an understandable style	20
Total Points	250